

Finance and Administration Cabinet STANDARD PROCEDURE		ISSUED BY: Department of Revenue; Security
PROCEDURE # 6.5.1	SUBJECT: Identification and Access Control Badges	
EFFECTIVE DATE: 10/28/11		
CONTACT: DOR Security Office		LOCATION: State Office Building, Station #17 PHONE: 502-564-5200

## STATEMENT OF AUTHORITY

1. The Finance and Administration Cabinet's Standard Procedures Manual establishes standard mandatory internal procedures cabinet-wide. These procedures are established in accordance with the Secretary's statutory authority under KRS 42.014 and KRS 12.270 to establish the internal organization and functions of the Cabinet as necessary to perform the duties effectively.
2. The Standard Procedures Manual may only be revised in accordance with the process outlined in Standard Procedure #1.1 entitled: "Finance Standard Procedures and Manual".

## I. PURPOSE

To outline the administration of the Department of Revenue (DOR) Access Control System; to provide guidance with requesting issuance, and revoking, of identification badges; and to articulate visitor access standards.

## II. POLICY

DOR has implemented an Access Control System. This system is a key component of the building security program. Physical access to buildings and data is controlled through the use of dual-purpose badges. The badges, through system administration, allow access to protected DOR buildings based on the time of entry and established access groups.

In order to promote the safety of DOR employees, contractors and guests, and to maintain confidentiality of taxpayer records and other statutorily protected information, DOR employees and authorized contractors shall use their assigned identification badge in accordance with this standard procedure.

## III. PROCEDURE

### A. DOR Identification Badge Issuance

1. The employee's manager or supervisor shall complete a Building Access Authorization Form ([Form SP7.605011](#)) in its entirety. The DOR Identification Badges Document ([Form SP7.605012](#)) shall be used as a guide to determine the level(s) of access needed.

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2. If access to restricted areas is needed, the form shall be forwarded to the:
  - a. Disclosure Office, if federal information, or
  - b. Director of Operations, in operational information.
3. After all signatures are obtained, the employee's manager or supervisor shall inform the employee of the locations, days of the week, and times for which entry to DOR facilities is authorized; and shall submit the form to the DOR Security Office for processing.
4. Upon receipt of the form, the DOR Security Office shall process the request and date and initial its completion.
5. The DOR Security Office shall then arrange a photo session for the employee and notify the employee's manager or supervisor of the time and location.
6. Upon receipt of the badge, the employee shall read, sign and date a DOR ID Badge Transmittal and Use Acknowledgement Form ([Form SP7.605013](#)) to acknowledge receipt of the identification badge and the responsibilities associated with its use. The DOR Security Office employee shall also sign and date the form.
7. The Building Access Authorization Form and DOR ID Badge Transmittal and Use Acknowledgment Form shall be retained in the DOR Security Office.
8. Note that before an employee transfers within the DOR, the manager shall request removal of any previous access granted to that employee outside of core hours and areas. The employee's new manager shall submit a new form requesting access to the restricted areas that the employee needs.

## **B. Employee Responsibilities**

DOR employees shall abide by the following responsibilities regarding the use of their assigned identification badges:

1. Employees shall wear their identification badges with the front of the badge visible to others at all times while on-site at a DOR facility.
2. Employees shall use their assigned badge to gain entry to the approved work area locations during the hours authorized by the employee's manager or supervisor. If an employee experiences problems with access to areas that they believe they are

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authorized to enter, they shall call the DOR Security Office or post a message to the DOR Facilities Access mailbox for assistance.

3. Employees shall use only the main building entrance to gain entry to DOR facilities during non-business hours, including weekends or holidays.
4. If an employee forgets their badge, the employee shall be required to call someone from their area to escort them; and execute the following:
  - a. Obtain a DOR temporary badge from the Commissioner's Office, 502-564-3226. Temporary badges are active during core business hours only.
  - b. Sign the temporary badge log at the time of issuance.
  - c. Return the temporary badge to the Commissioner's Office at the end of the business day. If the temporary badge has not been returned by close of business, the Commissioner's Office shall contact DOR Security by 9:00 a.m. the following morning, who shall deactivate the temporary badge.
5. Employees shall notify the DOR Security Office immediately if their DOR identification badge is lost, misplaced, damaged, or stolen.
  - a. DOR Security Office staff shall deactivate the lost or stolen badge immediately.
  - b. The employee's manager or supervisor shall submit a completed and approved Building Access Authorization Form to the DOR Security Office requesting issuance of a replacement identification badge to the employee.
  - c. A DOR Security Office staff member shall note on the form that the employee's card has been replaced, the date and initial it.
  - d. The completed form shall be retained in the DOR Security Office.
  - e. Employees, who lose their assigned badge more than twice in a calendar year, may be required to reimburse the DOR for the cost of any replacements.
6. Employees shall request his or her manager to authorize additional access when there is a need for the employee to access a DOR facility during a time, which the employee is not normally scheduled to be on the premises.

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- a. A Building Access Authorization Form with a need justification shall be completed, signed by the employee's manager before the scheduled time period, and sent to the DOR Security Office.
- b. If this additional access is only needed temporarily, both the START and END date shall be provided on the form.

### **C. Revoking Access to DOR Facilities**

1. If an employee's or contractor's access to DOR facilities needs to be revoked, it shall be completed as follows:
  - a. If the employee's access is to be revoked due to termination of employment or disciplinary actions, the supervisor or manager shall forward the completed Building Access Authorization Form, documenting the reason for access revocation, to the DOR Security Office a minimum of one (1) hour PRIOR to notifying the employee of the termination or disciplinary action.
  - b. If the employee's access is to be revoked due to the employee resigning, retirement, transferring or being on extended medical leave, the supervisor or manager shall forward the completed Building Access Authorization Form documenting the reason for access revocation to the DOR Security Office within one (1) business day.
  - c. Access to a DOR facility may be revoked immediately and/or at any time by the Office of the Commissioner or the Office of General Counsel upon just cause.
2. The access control badge shall be returned to the DOR Security Office by the manager or supervisor.
3. The DOR Security Office staff shall process the form immediately and disable the employee's access based on the REVOKE START DATE, destroy the badge, and date, initial and retain the form.

### **D. Visitors Access to DOR Facilities**

DOR employees shall maintain the confidentiality of state and Federal taxpayer information maintained at its facilities, pursuant to FAC standard procedure 6.1.2: Confidentiality of State and Federal Information. As a result, strict rules shall apply for

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all visitors accessing DOR facilities during core business hours (8:00 a.m. – 5:00 p.m. weekdays).

The following procedures shall be followed by DOR employees and authorized contractors when an individual comes to visit them at a DOR facility:

1. Visitors shall use the main entrance only.
2. The visitor shall wait at the reception desk while the receptionist telephones the employee, contractor or business area, or to Security Office if these individuals cannot be reached, and inform them of the visitor waiting to be escorted.
3. After the escort arrives, the receptionist shall instruct the visitor to sign the visitor's log and shall then issue a visitor badge.
4. The escort shall initial the visitor's log, acknowledging escort responsibility, before departing the lobby. If the visitor has other business in the building, the escort may request that another employee assume escort responsibility.
5. The designated escort shall take the visitor back to the receptionist's desk and ensure that the visitor badge is returned and the visitor signs out on the visitor's log.
6. Visitors shall be escorted at all times.

#### **E. Emergency Access to DOR Facilities**

1. Emergency access may be granted by contacting Facilities Security at 564-9877.
2. A security officer shall escort the individual to the requested area. This process shall be used in emergency situations only.
3. The employee shall notify his or her Supervisor in writing, within twenty-four (24) hours of the emergency access.
4. The employee's Supervisor shall then send that notification to the DOR Security Office, who shall notify the DOR Deputy Commissioner.
5. A copy of this notification shall be retained in the DOR Security Office.

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#### IV. DISCIPLINARY ACTION

Failure to follow the procedures set forth in this policy may result in disciplinary action, including reprimand, suspension or dismissal.

#### V. REFERENCES

[FAC Standard Procedure 6.1.2](#): Confidentiality of State and Federal Information

#### VI. FORMS

[Form SP7.605011](#) - Building Access Authorization (Revenue Form 10-A030)

[Form SP7.605012](#) - Identification Badges

[Form SP7.605013](#) - ID Badge Transmittal and Use Acknowledgement